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L12 and delay	9

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<u>L13</u>	L12 and delay	9	<u>L13</u>
<u>L12</u>	L9 and report	18	<u>L12</u>
<u>L11</u>	L9 and report same delay	0	<u>L11</u>
<u>L10</u>	L9 and delay with report	0	<u>L10</u>
<u>L9</u>	L1 and trade with entry	39	<u>L9</u>
<u>L8</u>	L1 and trade with entry with delay and report	0	<u>L8</u>
<u>L7</u>	L1 and trade with entry with delay with report	0	<u>L7</u>
<u>L6</u>	L5 and (database or data with base)	35	<u>L6</u>
<u>L5</u>	L4 and (broker or company)	35	<u>L5</u>
<u>L4</u>	L1 and track\$ and securities and report	39	<u>L4</u>
<u>L3</u>	L1 and securities and report and track\$	39	<u>L3</u>
<u>L2</u>	L1 and securities with report	13	<u>L2</u>
<u>L1</u>	trade near management	168	<u>L1</u>

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### Search Results -

Terms	Documents
L9 and 705/35	9

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<u>L11</u>	19 and 705/35	9	<u>L11</u>
<u>L10</u>	19 and 705/37	17	<u>L10</u>
<u>L9</u>	18 and time	56	<u>L9</u>
<u>L8</u>	L2 and (start\$ or beginning) and (clos\$ or complet\$ or end\$)and trade	56	<u>L8</u>
<u>L7</u>	L6 and (start\$ or beginning) and trade	55	<u>L7</u>
<u>L6</u>	L2 and (complete or completion or ending or clos\$) and trade	77	<u>L6</u>
<u>L5</u>	L3 and (complete or completion or ending or clos\$) and trade	8	<u>L5</u>
<u>L4</u>	L3 and (complete or completion or ending) and trade	5	<u>L4</u>
<u>L3</u>	L2 and clos\$ with trade	8	<u>L3</u>
<u>L2</u>	L1 and communication	90	<u>L2</u>
<u>L1</u>	trade near management	168	<u>L1</u>

END OF SEARCH HISTORY

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### Search Results -

Terms	Documents
"thomson trading services".as.	2

Database:

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<u>L15</u>	('5497317')[URPN]	37	<u>L15</u>
	DB=USPT; PLUR=YES; OP=OR		
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	DB=PGPB,USPT,USOC,EPAB,JPAB,DWPI,TDBD; PLUR=YES; OP=OR		
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<u>L12</u>	5497317.pn.	2	<u>L12</u>
<u>L11</u>	19 and 705/35	9	<u>L11</u>
<u>L10</u>	19 and 705/37	17	<u>L10</u>
<u>L9</u>	18 and time	56	<u>L9</u>
<u>L8</u>	L2 and (start\$ or beginning) and (clos\$ or complet\$ or end\$)and trade	56	<u>L8</u>
<u>L7</u>	L6 and (start\$ or beginning) and trade	55	<u>L7</u>

<u>L6</u>	L2 and (complete or completion or ending or clos\$) and trade	77	<u>L6</u>
<u>L5</u>	L3 and (complete or completion or ending or clos\$) and trade	8	<u>L5</u>
<u>L4</u>	L3 and (complete or completion or ending) and trade	5	<u>L4</u>
<u>L3</u>	L2 and clos\$ with trade	8	<u>L3</u>
<u>L2</u>	L1 and communication	90	<u>L2</u>
<u>L1</u>	trade near management	168	<u>L1</u>

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L13: Entry 1 of 2

File: USPT

Mar 5, 1996

US-PAT-NO: 5497317

DOCUMENT-IDENTIFIER: US 5497317 A

TITLE: Device and method for improving the speed and reliability of security trade settlements

DATE-ISSUED: March 5, 1996

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Hawkins; John G.	Hopkinton	MA		
Paul; Loni J.	Charlestown	MA		
Cardwell; Phillip R.	Marblehead	MA		
Reeves; Peter T.	Needham	MA		
Dean; Helen B.	Milford	MA		
Doherty, V; Daniel B.	Scituate	MA		
Flaherty; Paul J.	Brighton	MA		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Thomson Trading Services, Inc.	Boston	MA			02

APPL-NO: 08/174231 [PALM]

DATE FILED: December 28, 1993

INT-CL-ISSUED: [06] G06 F 17/60

US-CL-ISSUED: 364/408

US-CL-CURRENT: 705/37

FIELD-OF-CLASSIFICATION-SEARCH: 364/408, 364/401, 235/379

See application file for complete search history.

PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

[Search Selected](#)[Search ALL](#)[Clear](#)

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/>	<u>4346442</u>	August 1982	Musmanno	
<input type="checkbox"/>	<u>4376978</u>	March 1983	Musmanno	
	<u>4571463</u>	February 1986	Shefler	

<input type="checkbox"/>				
<input type="checkbox"/>	<u>4674044</u>	June 1987	Kalmus et al.	
<input type="checkbox"/>	<u>4694397</u>	September 1987	Grant et al.	364/408
<input type="checkbox"/>	<u>4774663</u>	September 1988	Musmanno et al.	
<input type="checkbox"/>	<u>4823265</u>	April 1989	Nelson	
<input type="checkbox"/>	<u>4949248</u>	August 1990	Caro	
<input type="checkbox"/>	<u>4980826</u>	December 1990	Wagner	364/408
<input type="checkbox"/>	<u>5101353</u>	March 1992	Lupien et al.	
<input type="checkbox"/>	<u>5136501</u>	August 1992	Silverman et al.	364/408
<input type="checkbox"/>	<u>5220501</u>	June 1993	Lawlor et al.	
<input type="checkbox"/>	<u>5262942</u>	November 1993	Earle	364/408
<input type="checkbox"/>	<u>5285383</u>	February 1994	Lindsey et al.	364/408

## FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	CLASS
2161003	January 1986	GB	
2210714	June 1989	GB	

## OTHER PUBLICATIONS

"Industry User Group--ETC" Business Requirements Specification, Version 1, 3 Feb. 1992.

"Institutional Delivery System--Interactive Machine Readable--Trade Output Specification", Version 01, Dep. Trust Co., Sep. 29, 1993.

"Institutional Delivery System--Interactive Machine-Readable" Trade Input Specification--Version 01, Dep. Trust Co., Sep. 29, 1993.

"Institutional Delivery System--Interactive ID" Input-Output Appendices, Depository Trust Co., Sep. 29, 1993.

ART-UNIT: 241

PRIMARY-EXAMINER: Weinhardt; Robert A.

ATTY-AGENT-FIRM: St. Onge Steward Johnston & Reens

## ABSTRACT:

A security trade settlement device is provided. The device comprises a database having a plurality of delivery instruction sets, a database receiver for receiving an identifier, a database searcher for searching the database, and a database transmitter for transmitting the retrieved instruction set corresponding to the identifier. The device preferably also comprises a participant transmitter for transmitting the identifier and a participant receiver for receiving and outputting the retrieved, transmitted delivery instruction set. The database preferably also includes a plurality of account information sets which include a custodian delivery instruction set specified by the institution. In other aspects, the invention comprises methods of operating the database and the security trade settlement

communication device.

32 Claims, 6 Drawing figures

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## Patent Assignment Abstract of Title

**Total Assignments: 1****Application #:** 09540648 **Filing Dt:** 03/31/2000 **Patent #:** NONE **Issue Dt:****PCT #:** NONE**Publication #:** NONE**Pub Dt:****Inventors:** Paul G. Skuriat, Christopher J. Walsh, Lucy A. Lynch**Title:** Method and System for measuring trade management performance**Assignment: 1**

<b>Reel/Frame:</b>	<u>010660 /</u>	<b>Received:</b>	<b>Recorded:</b>	<b>Mailed:</b>	<b>Pages:</b>
	<u>0832</u>	04/10/2000	03/31/2000	05/30/2000	5

**Conveyance:** ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).**Assignors:** SKURIAT, PAUL G.**Exec Dt:** 03/30/2000WALSH, CHRISTOPHER J.**Exec Dt:** 03/30/2000LYNCH, LUCY A.**Exec Dt:** 03/30/2000**Assignee:** THOMSON INFORMATION SERVICES INC.

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**Correspondent:** MINTZ, LEVIN, COHN, FERRIS, GLOVSKY &

POPEO, PC - DAVID F. CROSBY

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Web interface last modified: Mar 14, 2006 v.1.9